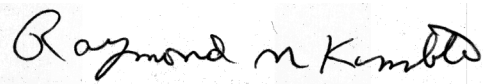


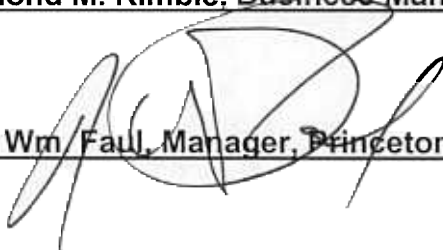


DEPARTMENT OF ENERGY
PRINCETON SITE OFFICE
BUSINESS MANAGEMENT PROCEDURE

PROCEDURE 1-11
CONTRACT FUNDING CONTROL
REVISION 2

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ANNUAL REVIEW	
<u>Reviewer</u>	<u>Date</u>
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CONTRACT FUNDING CONTROL
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STOP WORK AUTHORITY: When an unsafe or unhealthy condition or an adverse impact to the environment is observed, all PSO staff have full authority to stop work. See PSO Procedure 3-11 for implementation.

CONTRACT FUNDING CONTROL

(For Inter-agency agreements this control includes processing of Procurement Request (PR) (DOE Form F 4200.33/ F 4200.34) and Individual Procurement Action Report (IPAR) (DOE Form F 4200.40/ F 4200.41). This procedure also includes the processing of Work Authorization Forms (WAS))

1.0 PURPOSE

To ensure Princeton University (PrUn) and the Department of Energy (DOE) reach agreement on the funded scope of work and the amount of funds required as evidenced by WAS, Financial Plan, Work-for-Others (WFO), Cooperative Research and Development Agreements (CRADA), or Environmental Restoration/Waste Management plans, before funds are obligated or de-obligated in the contract. All funding actions are certified by Chicago Operations Office (CH) Accounting and Finance (CRA) as available via the certified funding documents (i.e. PR form or certified financial plan prior to executing contract actions). Once the action is executed, appropriate notification is then forwarded to CH via the IPAR form for Inter-agency agreements or the copy of the executed contract document. Executed funding modifications for prime contract actions will also be entered into the FPDS-NG system by the PSO Financial Specialist (FS).

SCOPE

This procedure will be followed to ensure that the PSO Contracting Officer authorizes contractual efforts only when having appropriate funding obligational authority has been received and is available for the work. The government requirement for funds validation is in support of the requirements specified in the Anti-Deficiency Act. This procedure will also ensure the procurement action information is provided to CH for their processing. Funding actions will be reflected in the new prime contract award or subsequent contract modifications to a prime contract.

RESPONSIBILITIES AND AUTHORITIES

3.1 Financial Specialist (FS)

Reviews WAS, Financial Plans and performs other duties as noted in Section 4.1 below.

Refer to the Procedures section below for more detail on the responsibilities and authorizations related to the FS.

Contract Specialist (CS)

Reviews WAS, prepare PR, IPAR, etc., obtain appropriate signatures on WAS and PR (after certification by CH-CRA), and perform other duties as noted in Section 4.1 below.

Refer to the Procedures section below for more detail on the responsibilities and authorizations related to the CS.

Business Management Team Leader (BMTL)

Involved with new prime contract actions regarding requested WFO as noted in Section 4.2 below.

Refer to the Procedures section below for more detail on the responsibilities and authorizations related to the BMTL.

3.3 Manager, Princeton Site Office (PSO)

Final approval and signature of WAS (after Princeton Plasma Physics Laboratory (PPPL) Head of Business Operations has signed) and contract modifications (in triplicate).

4.0 PROCEDURES**4.1 Funding Changes in Support of Work Related to Prime Contract DE-AC02-76CH03073**

The FS:

- Reviews the WAS forms that are prepared by DOE program offices (e.g. Office of Fusion Energy Sciences (OFES)), for accuracy and determination that funds are available to process them. NOTE: Actions originating from WFO, jointly funded work and CRADA's will be prepared by the cognizant PSO individual and forwarded to the FS (see below).
- Before contract funding is revised, the FS forwards the WAS to PPPL's Head of Business Operations and the PSO Manager for signature. Once signed, the draft prime contract modification will be prepared and forwarded to the BMTL and Manager for signature. FS forwards completed and signed Inter-agency agreements (process performed by CS) to CH for funds certification.

The PR and/or draft contract modification copy will be forwarded to the CH-CRA for funds certification. Upon receipt of the certification, the modification (in triplicate) will be signed by the PSO Manager and forwarded to the awardee for signature. For other than inter-agency agreements the contractor shall return to PSO two original signed documents for actions resulting in a net reduction to contract obligations. For a net increase in obligations two documents acknowledging receipt must be returned to PSO. For PrUn, the modification should be forwarded to the Office of Research and Project Administration.

For Inter-agency agreements all contractual actions must be signed in triplicate and returned to PSO.

- Upon receipt of the two original signed Inter-agency documents, the IPAR will be prepared and forwarded to CH ACQ-SD via electronic mail along with an original signed document.
- Upon receipt of executed prime contract documents, one original of the modification will be forwarded to CH CRA with copies to other PPPL/PrUn/PSO/CH/SC/HQ staffs.

The BMLT will be consulted for resolution of any problems associated with the above.

A. PPPL Performing WFO or CRADA Work

The cognizant PSO Business Management Team (BMT) CS will: upon receipt of an acceptable Proposal Information Questionnaire (PIQ) or CRADA and a determination that the work should be performed at PPPL, arrange for funds to be put into the prime contract with the FS as detailed below. The PSO CS will finalize the documents and forward it to the FS and PSO PEM Team. When the PSO Team agrees that the work is acceptable for PPPL to perform the PSO FS should place appropriate funds in the prime contract before work commences but only after CH certifies that funds are available. Supporting documents are the CS responsibility to obtain, distribute and file.

4.2 Requesting Work from Others

A. New Prime Contract Actions

BMT:

For new prime contract actions, the PSO CS obtains from the CH

Contracts Division a number that will be assigned to the contract. The PSO CS prepares the draft contract instrument and PR for review by the PSO FS. These documents are prepared so that PSO can either direct work to a contractor other than PPPL or obtain work from another government agency, i.e. an Inter-agency agreement. For Inter-agency agreement PR and IPAR forms are processed as stated above.

PSO CS will ensure that advance notification using DOE F 4220.10 is provided to the Office of the Assistant Secretary for Congressional, Public, and Intergovernmental Affairs (CP) 48 hours prior to public announcement or notifying the recipient of any new or modified award (funding action) with a value of \$50,000 or more for a grant, and \$500,000 or more for a contract. If the proposed award is for \$1,000,000 or more and negotiations with the recipient are necessary prior to the award, CP must be notified 48 hours prior to public announcement or notification to the recipient of its selection for negotiations.

B. PSO Requesting Work from Another Government Agency

The PSO CS will:

- prepare a draft IAG and forward it to the PSO FS.

The PSO FS will:

- Review the draft IAG for correct financial terms and budget resources.
- Prepare a draft PR, prime contract document, and submit the necessary documentation to obtain funding certification from CH-CRA.
- Notify the BMTL of funding availability;
- After receipt of the notification of availability of funding, the IPAR will be prepared and the prime contraction signed. Once the contract is signed, the PSO Contract Specialist will transmit the agreement to the performing agency. One contract document and IPAR will be sent to CH and one retained for PSO records.

4.3 Mailing and Distribution

Normally, PR forms and draft contracts are sent to CH-CRA via electronic mail and fax.

Upon execution of the contract (in triplicate), the FS ensures an accurate IPAR is completed for Interagency agreements and sent to CH-ACQ-SD along with a copy of the Inter-agency agreement. If the action is not related to an Inter-agency agreement the PSO FS will enter the info into the FPDS-NG and forward a copy of the contract document to CH..

One original signed contract document is retained at PSO, one is sent to CH-CRA, and one with the contracting party. Copies of the executed contract action or modification are sent to contract holders.

5.0 REFERENCES

- DOE Order 135.1 – Budget Formulation
- DOE Order 412.1A – Work Authorization System
- DOE Order 1220.1A, Change 1 – Congressional and Intergovernmental Affairs
- DOE Form F 4200.33 – Procurement Request-Authorization
- DOE Form F 4200.34 – Procurement Request-Authorization Funding Data (Continuation Sheet)
- DOE Form F 4200.40 – Individual Procurement Action Report (IPAR)
- DOE Form F 4200.41 – Individual Procurement Action Report Supplemental for Procurement and Financial Assistance
- DOE F 4220.10 – Congressional, Public, and Intergovernmental Affairs (CP) Notification
- DOE Handbook for Preparation of Individual Procurement Action Report (IPAR) October 2001

6.0 DEFINITIONS

ACQ-SD	Office of Acquisition and Assistance – Support Division
BMTL	Business Management Team Leader
CH	DOE Chicago Operations Office Office of the Assistant Secretary for Congressional, Public, and Intergovernmental Affairs
CRA	Accounting and Finance
CRADA	Cooperative Research and Development Agreement
CS	Contract Specialist
DOE	U.S. Department of Energy
FS	Financial Specialist Headquarters
IAG	Interagency Agreement
IPAR	Individual Procurement Action Report
OFES	Office of Fusion Energy Sciences
PADS	Procurement and Assistance Data System
PEM	Project and Engineering Management
PIQ	Proposal Information Questionnaire
PPPL	Princeton Plasma Physics Laboratory Procurement Request Princeton University Princeton Site Office
SC	Office of Science
WAS	Work Authorization System
WFO	Work-for-Others